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PAGE 04/21

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Douglas W. Pocius; Michael D. Camras; Gloria E. Hofler  
Assignee: Lumileds Lighting U.S. LLC  
Title: Forming An Optical Element On The Surface Of A Light Emitting Device For Improved Light Extraction  
Serial No.: 09/823,841 Filing Date: March 30, 2001  
Examiner: Alessandro V. Amari Group Art Unit: 2872  
Docket No.: M-9728 US  
(LUM-M-9728 US)

San Jose, California  
April 28, 2005

Mail Stop Issue Fee  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR § 1.97(i)**

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, the documents listed on the accompanying forms PTO/SB/08A and PTO/SB/08B are called to the attention of the Examiner for the above patent application. Copies of the cited foreign patent document and article are enclosed. Copies of the cited US Patent documents are not enclosed as the requirement under 37 CFR 1.98 (a)(2)(i) is waived.

Citation of these documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

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Serial No. 09/823,841

Applicants respectfully request the Examiner to place this letter and the enclosures in the USPTO file for the present application.

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I hereby certify that this paper is being facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.

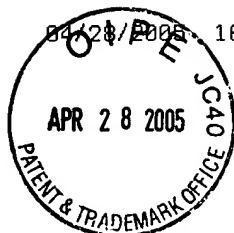
  
Signature   
Date

Respectfully submitted,



Rachel V. Leitterman  
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PTO/SB/06A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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Substitute for form 1449/PTO		<b>Complete if Known</b>			
		Application Number	09/823,841		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Filing Date	March 30, 2001		
		First Named Inventor	Douglas W. Pocius		
		Art Unit	2872		
		Examiner Name	Alessandro V. Amari		
Sheet	1	of	2	Attorney Docket Number	M-9728 US

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,258,699 B1	7-10-2001	Chang et al.	
		US- 2004/0051106 A1	3-18-2004	Baur et al.	
		US- 4,109,054	8-22-1978	Burgan	
		US- 6,473,554 B1	10-29-2002	Pelka et al.	
		US- 2003/0227249 A1	12-11-2003	Mueller et al.	
		US- 5,418,384	5-23-1995	Yamana et al.	
		US- 6,598,998 B2	7-29-2003	West et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	†
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		JP55065473A	5-16-1980	NEC Corp.		

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

**Complete if Known**

Application Number	09/B23.841
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<b>Filing Date</b>	March 30, 2001
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First Named Inventor	Douglas W. Pocius
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Art Unit	2872
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Examiner Name	Alessandro V. Amari
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Attorney Docket Number	M-9728 US
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Sheet	2	of	2
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### NON PATENT LITERATURE DOCUMENTS

[illegible]

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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